

11 October 1979

MEMORANDUM FOR: Deputy Director for Science and Technology  
Deputy Director for Operations  
Deputy Director for Administration  
Deputy Director for National Foreign Assessment  
Deputy to the DCI for Resource Management  
Deputy to the DCI for Collection Tasking  
General Counsel  
Legislative Counsel  
Inspector General  
Comptroller  
Director, Equal Employment Opportunity  
Director of Public Affairs

FROM : Deputy Director of Central Intelligence

SUBJECT : Senior Intelligence Service - Draft Advance Work Plan

1. Attached is a preliminary draft of supplemental guidelines for the preparation of the Advanced Work Plans (AWP), an integral part of the SIS Performance Appraisal system. The SIS AWP and the Performance Appraisal system are the basic documents upon which performance awards and/or bonuses will be based.

2. I would like you to review these guidelines ASAP and comment back to the Office of Personnel by COB Monday, 15 October. The AWP will also be discussed at the 18 October SIS Conference. After review and revisions as appropriate, I expect to issue the guidelines before the end of October.

3. All supervisors of SIS members will be expected to prepare the AWP, discuss it with their SIS staff members and reach agreement on the AWP by 1 November 1979. The SIS members will be evaluated against the agreed upon work plan by 1 October 1980. Obviously, the supervisor and the SIS member to be rated must reach agreement not only on key priority objectives, but also how measurement of key objectives will take place.

STATINTL

## ROUTING AND RECORD SHEET

SUBJECT: (Optional)

Advance Work Plan for SIS Members

FROM:

Harry E. Fitzwater  
Director of Personnel  
5 E 58

EXTENSION

NO.

DATE

5 October 1979

STATINTL

TO: (Officer designation, room number, and building)

DATE

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

RECEIVED

FORWARDED

1. Deputy Director of  
Central Intelligence

2.

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STATINTL

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Attached are the supplemental guidelines for the preparation and application of the Advance Work Plans (AWP) for members of the SIS. Also, we have included samples of the AWP. I suggest that prior to printing a sample AWP that we provide better examples and this will be done for your concurrence. I feel, however, that these will give you some idea as to what we are proposing for the AWP.

  
 Harry E. Fitzwater

Atts

Distribution:

Orig &amp; 1 - DDCT

1 - DD/Pers/P&amp;C

1 - D/Pers Chrono

1 - D/Pers Subject File

1 - D/Pers Chrono

D/Pers/HEFitzwater:rj (10/9/79)

11 October 1979

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Deputy to the DCI for Resource Management  
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General Counsel  
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Inspector General  
Comptroller  
Director, Equal Employment Opportunity  
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4. I expect, in addition to individual work goals, that supervisors of SIS members will also take into account office/division level goals and directorate goals as well. The AWP should reflect both the organizational goals and the individual SIS member goals.

5. At the end of the first year's experience, I expect an in-depth evaluation of the SIS system including an analysis of the AWP.

6. I appreciate your continuing support as we launch the Senior Intelligence Service system.

[REDACTED]

Frank C. Carlucci

STATINTL

Attachments

cc: DCI  
Director of Personnel  
SA/DDCI (Mr. [REDACTED])

STATINTL

Distribution:

1 - Each Addressee  
1 - DCI  
1 - DDCI  
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SA/DDCI:skm (11Oct79)

SUPPLEMENTAL GUIDELINES FOR THE PREPARATION AND APPLICATION OF  
ADVANCE WORK PLANS FOR  
MEMBERS OF THE SENIOR INTELLIGENCE SERVICE

I. GENERAL

The recently approved Senior Intelligence Service (SIS) for CIA establishes among its several provisions, a new compensation system for SIS members. The System institutes a direct relationship between the Advance Work Plan (AWP), the annual Performance Appraisal Report (PAR) and determinations of eligibility for consideration for substantial monetary awards in recognition of excellence of performance or for continued retention as a member of the SIS.

II. ADVANCE WORK PLAN

1. The new PAR requires consultations between rated SIS officers and their supervisors to establish Advance Work Plans for the upcoming evaluation period. During their meetings, supervisors must confirm that rated officers understand the general provisions of the SIS System and are aware of the SIS performance appraisal and compensation provisions within the SIS System. Active participation of SIS members is vital in the process of identifying and agreeing on major work objectives, job elements and performance standards. Standards developed mutually by the supervisors and SIS members should be more objective and realistic and more likely to be measurable and quantifiable. Effective two-way communication between supervisors and the SIS members regarding progress in meeting performance standards is essential throughout the rating cycle. Performance standards and job elements must be recorded in writing. The advantage of written standards are that they clarify exactly what is expected of SIS members and, if signed and dated by the SIS members and supervisors, provide

documentation that standards have been developed, what they are, and that they are understood by the SIS member. Significant modification to the performance standards during the performance appraisal cycle must also be in writing.

2. The Advance Work Plan (see examples attached) is a multipurpose worksheet which is to be used for all SIS members to record:

- a. Priority of major work objectives;
- b. Major work objectives and responsibilities;
- c. Job elements [required results (outputs)];
- d. Performance standards [criteria for measuring required results (output)];
- e. Modifications, if any, to the major work objectives, job elements or performance standards at the beginning of the rating cycle;
- f. Annual evaluative rating for each major work objective (derived from PAR);
- g. Acknowledgement from the supervisor and the employee that work objectives and responsibilities, performance standards and job elements have been established and discussed and that periodic progress reviews have been held.

(a) Priorities (Section (a) of AWP)

Some work objectives are more important to mission accomplishment than others and deserve more evaluative credit or weight.

(b) Major Work Objectives and Responsibilities (Section (b) of AWP)

An accurate description of current work objectives and responsibilities is essential for a properly prepared AWP and responsibilities for the SIS

member's position. These should include: organizational objectives relative to the missions of the component or specific topical objectives established by higher managerial authority (e.g., "cascading" downward from DCI/DDCI to major components, to subordinate components, to individuals); and individual objectives which are specific taskings to the rated officer which generally relate to those continuing responsibilities that are inherent aspects of the position assignment (such as an objective to provide specific training for subordinates or for an individual to accomplish specific training, etc.). A work-objective must be established for meeting Affirmative Action goals and achievement of Equal Employment Opportunity requirements when they are within the rated individual's scope of responsibilities.

(c) Job Elements (required results) (Section (c) of AWP)

If the performance appraisal process is to contribute to overall productivity (mission accomplishment), it is essential that we measure the results that we achieve and not the things we do to achieve them.

Productivity is a measure of output. A statistician would measure productivity by the number of reports produced rather than the rolls of calculator tape used. In just the same way, we should focus on results. Reports received, meetings attended, calls answered, letters dictated all are measures of input. It is not how busy an individual has been but what was accomplished. The accomplishments are results.

No manager or executive is paid to be busy. They are paid to achieve results. Accomplishment related performance standards tell us what we have achieved, not what we have done.



There once was a pilot, flying the Pacific, whose last recorded radio message was, "I don't know where I'm going, but I'm making great time." How would you appraise the performance of that pilot? Did his "great time" have any meaning at all in this context?

Our subordinates may "make great time," busily attending meetings reviewing reports, doing the things managers do, yet not contributing significantly to Program accomplishment. Indeed, what they are doing may not have any more meaning than our pilot's "great time."

Most of us are used to describing our jobs in terms of functional activity statements. We do this for position descriptions. For the purpose of identifying and measuring effectiveness, we need to see our activities as means employed to accomplish end results, and measure the end result achieved. The evaluation of results will tell us if we have chosen the activities that accomplished the work objective.

When job elements, then, are identified for work situations, they are stated in terms of results.

Job elements are:

- end results that are observable.
- results that can be measured by anyone interested in doing so.
- results that are attainable by the person (within the authority of the position).
- derived from the overall organization mission.
- compatible with and supportive of results assigned to other organizational components.

Criteria must be set for measurement of these results. The established criteria for evaluation of results are performance standards.

(d) Performance Standards (criteria for measuring required results) -  
(Section (d) of AWP)

As stated earlier, for the purposes of identifying and measuring effectiveness, we need to see our activities as means employed to accomplish end results, and we need to measure the end result achieved. The evaluation of results will tell us if we have chosen the activities that accomplished the job.

A job exists to contribute some required results to the organization. The incumbent is accountable to the organization for those results. Each of the required results of a position is a job element.

Job elements are end results that are measurable or observable and attainable within the authority of the position. They are results that lead to the accomplishment of the mission because they are compatible with, and supportive of, results assigned to other organizational components. A job element may be derived from a functional activity statement by analyzing the purpose of the activity performed to specify the outcome required.

The incumbent will be held accountable to the organization for those required results through the performance appraisal process. For each job element of a job, performance standards must be established to measure accomplishment.

Performance standards are criteria for differentiating satisfactory from unsatisfactory results and degrees of accomplishment such as superior or marginal. Standards will be measures of quality, quantity, cost effectiveness, timeliness, etc.

Performance standards should present some challenge but they must be realistic, in that they are achievable. When writing a performance standard, one may start with the phrase "performance which fully meets the work objectives when."

While it is highly desirable to describe the specific performance requirements for each performance level; as a minimum, the written standards must contain enough specificity to convey clearly what is expected for "performance which meets the work objectives fully" and to serve as a gauge for overall performance which falls short of or exceeds the performance which fully meets the work objective." (See attached AWP examples.)

Since job elements are results, they are observable. Standards express observations such as "how well," "how much," "when," and "in what way" an employee must perform in order for his or her performance to be rated.

Some rules of thumb on performance standards are:

- ° Performance standards can be prepared for all positions. To say that written standards cannot be prepared is the same as saying that you can't evaluate performance in that position.
- ° Don't confuse standards with procedures.
- ° Be specific.
- ° Be sure the standard is observable, and, therefore, documentable.  
It is often advisable to state the method of observation.
- ° Be sure to establish a time frame.
- ° Standards should measure accomplishment in as many of the following dimensions as appropriate: quality, quantity, timeliness, cost effectiveness, effect obtained, manner of performance, and method

of doing. This may be measured within the organization or by external customer acceptance of the work product.

- ° Where possible, state standards in terms of degrees of accomplishment, for example: Performance is superior when..., excellent when, unsatisfactory when...

(e) Interim Progress Reviews (Section (e) of AWP)

Interim progress reviews will be held with SIS members by supervisors at least once each six months. Column (e) of the AWP should reflect the date of this review. Attachments should be used for any comments or changes as the result of this interim discussion. The AWP may need major revision also.

(f) Annual Evaluation (Section (f) of AWP)

Record annual numerical rating from the Performance Appraisal Report for each major work objective or responsibility.

III. PERFORMANCE APPRAISAL REPORTS (PAR)

Performance appraisal based upon the Advance Work Plan established at the beginning and as amended in the course of the evaluation period, is an essential feature of the SIS. It links the quality of the SIS member's actual performance against assigned work objectives and prescribed standards with determinations of eligibility of the rated individual for a performance award and/or nomination for a Distinguished or Meritorious Officer Rank Stipend. In addition, the relative quality level of ratings on overall and individual performance in the PAR will have a direct bearing on the level of performance award and/or rank stipend that may be recommended and ultimately considered for approval.

Performance appraisals will also be key elements in consideration for promotion, assignment, retention of membership in the SIS or even continued employment with the Agency.

1. The performance of all members of the SIS will be evaluated on an annual basis (with special reports as otherwise required) in accordance with published schedules. The standard Performance Appraisal Report (Form 45) will be utilized in the evaluation of SIS members with the use of the Advance Work Plan described herein.
2. An overall performance evaluation rating of level 5, 6, or 7 and individual duties evaluated at no less than level 5, will qualify an SIS member for consideration of a performance award.
3. An overall performance evaluation rating of level 4 will eliminate the individual for consideration for any performance awards.
4. An overall performance evaluation of level 3 will only assure the rated SIS member of retention of basic annual salary level for the initial subsequent year following a level 3 rating. SIS members in this category must be counselled by the Head of the Career Service and must participate in a remedial program developed by the Career Service to assist the individual in overcoming any deficiencies in his or her performance.
5. Two successive annual overall performance ratings of level 3 or a single annual overall performance rating of level 2 or 1 require that the Heads of Career Service refer the case to the Director of Personnel with a recommendation for administrative action. This can include retention in the SIS under closely observed probation for a definitive period of time; removal from the SIS and reduction to GS-15 level status and compensation; or termination from employment. The Director of Personnel will recommend to the DDCI the administrative action to be taken.
6. All completed Performance Appraisal Reports will be forwarded by the rating officer together with a recommendation (if applicable based on ratings)

for awards for each rated individual through the reviewing officer to the Directorate Deputy Director of the organizational component in which they are assigned (e.g., regardless of the Career Service designation of the rated officer).

7. The Deputy Directors and the Chairman "E" Service will forward the SIS Performance Appraisal Reports and recommendations for awards to the Director of Personnel for preparation for DDCI approval.

8. Rated individuals are not to be informed as to whether or not they are being recommended or considered for performance and/or rank awards.

## SENIOR INTELLIGENCE SERVICE

SAMPLE

## POSITION TYPE:

(X) SUPERVISORY  
( ) NON-SUPERVISORY

ADVANCE WORK PLAN (AWP)

## RATING PERIOD:

FROM 1 Oct 79  
TO 30 Sep 80

NAME OF EMPLOYEE	STATINTL	POSITION TITLE	COMPONENT (Directorate/Office/Sub-Comp)	SIS LEVEL - 1	
		Attorney/Advisor Ch	Office of General Counsel		
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results (Outputs))	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Pro- gress Reviews)	(f) ANNUAL PAR EVALUATION
1	Responsible for recognizing problems which require resolution by higher authority and outlining recommended interpretation based on legal precedents and the factual situations attendant with such problems. Recommends litigation.	Client relationship and litigation preparation:  The recognition of possible litigation requires that the attorney maintain close contact with the client during contract administration. In addition, the attorney must prepare litigation alternatives or actions in order to adequately protect the contract rights of the client.	Performance fully meets work objectives (level 4) when: 1. The client is notified of all cases where litigation is a possibility in time to anticipate events. 2. All litigation actions are completed in a timely fashion, i.e., no litigation fails for lack of timeliness. 3. Seventy percent of the recommendations for litigation action made by the attorney are accepted by the attorneys actually conducting the litigation.  Performance is good (level 5), excellent (6) or superior (7) when: it exceeds level 4 standard by progressively more significant results.		
RATING OFFICIAL (Signature and Date)					
EMPLOYEE (Signature and Date)					

STATEMENT OF UNDERSTANDING

This is to affirm that I am knowledgeable of the provisions of the SIS performance appraisal and compensation systems and the relationship of performance evaluation ratings to determinations of my eligibility to be considered for performance awards, rank stipends, retention in the SIS system or continued employment with the Agency.

EMPLOYEES SIGNATURE \_\_\_\_\_

(1)

## SENIOR INTELLIGENCE SERVICE

SAMPLE

POSITION TYPE:

(X) SUPERVISORY  
( ) NON-SUPERVISORY

ADVANCE WORK PLAN (AWP)

RATING PERIOD:

FROM 1 Oct 79TO 30 Sep 80

NAME OF EMPLOYEE	STATINTL	POSITION TITLE Attorney/Advisor Ch	COMPONENT (Directorate/Office/Sub-Comp) Office of General Counsel	SIS LEVEL - 1
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results Outputs)	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Pro- gress Reviews)
			Performance is acceptable (level 3), marginal (level 2) or unsatisfactory (level 1) when: it falls short by occasionally, frequently or consistently failing to achieve level 4 standard.	(f) ANNUAL PAR EVALUATION
RATING OFFICIAL (Signature and Date)				
EMPLOYEE (Signature and Date)				

STATEMENT OF UNDERSTANDING

This is to affirm that I am knowledgeable of the provisions of the SIS performance appraisal and compensation systems and the relationship of performance evaluation ratings to determinations of my eligibility to be considered for performance awards, rank stipends, retention in the SIS system or continued employment with the Agency.

\* Use continuing sheet, if needed.

EMPLOYEES SIGNATURE \_\_\_\_\_

(2)



## SENIOR INTELLIGENCE SERVICE

SAMPLE

## POSITION TYPE:

(X) SUPERVISORY  
( ) NON-SUPERVISORY

ADVANCE WORK PLAN (AWP)

## RATING PERIOD:

FROM 1 Oct 79  
TO 30 Sep 80

NAME OF EMPLOYEE	STATINTL	POSITION TITLE	COMPONENT (Directorate/Office/Sub-Comp)	SIS LEVEL - 1	
		Attorney/Advisor Ch	Office of General Counsel		
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results (Outputs))	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Progress Reviews)	(f) ANNUAL PAR EVALUATION
2	Render opinions and advice to clients on legal matters.	Legal Opinions and Advice:  The client must have available timely legal advice in the form of written and oral legal opinions in order to make informed decisions that are in compliance with appropriate statutes, regulations and case law.	Performance fully meets work objectives (level 4) when:  1. Advice from the attorney was provided in all instances in a timely fashion that did not prejudice agency interests by delay.  2. All opinions were written and advice was given to client program managers in a form which they could easily understand.  3. Written opinions and oral advice identified and addressed <u>all</u> legal problems presented for resolution.  4. For contract modifications: Reviewed contract modification questions and rendered a legal opinion on each within 15 days in 70% of the cases. For the remaining 30%, rendered an opinion within 20 days.		
RATING OFFICIAL (Signature and Date)					
EMPLOYEE (Signature and Date)					

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\* Use continuing sheet, if needed.

EMPLOYEES SIGNATURE \_\_\_\_\_

## SENIOR INTELLIGENCE SERVICE

SAMPLE

RATING PERIOD:

FROM 1 Oct 79

TO 30 Sep 80

## POSITION TYPE:

(X) SUPERVISORY  
( ) NON-SUPERVISORY

ADVANCE WORK PLAN (AWP)

NAME OF EMPLOYEE		POSITION TITLE	COMPONENT (Directorate/Office/Sub-Comp)	SIS LEVEL- 1	
STATINTL		Attorney/Advisor Ch	Office of General Counsel		
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results (Outputs))	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Progress Reviews)	(f) ANNUAL PAR EVALUATION
			Performance is good (level 5), excellent (level 6), or superior (level 7) when: it exceeds level 4 standard by progressively more significant results.  Performance is acceptable (level 3), marginal (level 2), or unsatisfactory (level 1) when: it falls short by occasionally, frequently or consistently failing to achieve level 4 standard.		
RATING OFFICIAL (Signature and Date)					
EMPLOYEE (Signature and Date)					

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\* Use continuing sheet, if needed.

EMPLOYEES SIGNATURE \_\_\_\_\_

## SENIOR INTELLIGENCE SERVICE

SAMPLE

## POSITION TYPE:

ADVANCE WORK PLAN (AWP)

RATING PERIOD:

(X) SUPERVISORY  
( ) NON-SUPERVISORYFROM 1 Oct 79  
TO 30 Sep 80

NAME OF EMPLOYEE	STATINTL	POSITION TITLE	COMPONENT (Directorate/Office/Sub-Comp)	SIS LEVEL - 1		
		Chief, Procurement Branch	DDA/Office of Logistics			
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results (Outputs))	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Progress Reviews)	(f) ANNUAL PAR EVALUATION	
1	The quality of items delivered to agencies must be improved.	Procurement item quality (quality of procured items as measured by contract specifications)	<p>Performance fully meets work objectives (level 4) when:</p> <p>By the end of the first year with no more than an additional 10% increase in direct quality assurance monitoring cost:</p> <p>A. For procured items with a per unit cost of less than \$500, quality deficiencies occur less than 10% but no more than 8% of the contracts.</p> <p>B. For procured items with a per unit cost of from \$500 to \$2500, quality deficiencies occur in less than 24% but no more than 20% of the contracts.</p> <p>C. For procured items with a per unit cost in excess of \$2500, quality deficiencies occur in less than 13% but no more than 10% of the contracts.</p>			
RATING OFFICIAL (Signature and Date)						
EMPLOYEE (Signature and Date)						

STATEMENT OF UNDERSTANDING

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\* Use continuing sheet, if needed.

EMPLOYER'S SIGNATURE \_\_\_\_\_

## SENIOR INTELLIGENCE SERVICE

SAMPLE

## POSITION TYPE:

( X ) SUPERVISORY  
( ) NON-SUPERVISORY

ADVANCE WORK PLAN (AMP)

RATING PERIOD:

FROM 1 Oct 79

TO 30 Sep 80

NAME OF EMPLOYEE	STATINTL	POSITION TITLE	COMPONENT (Directorate/Office/Sub-Comp)	SIS LEVEL - 1	
		Chief, Procurement Branch	DDA/Office of Logistics		
(a) PRIORITY	(b) MAJOR WORK OBJECTIVES OR RESPONSIBILITIES	(c) JOB ELEMENT (Required Results (Outputs))	(d) PERFORMANCE STANDARD (Criteria for Measuring Required Results (outputs))	(e) DATES * (Interim Progress Reviews)	(f) ANNUAL PAR EVALUATION
			Performance is good (level 5), excellent (level 6) or superior (level 7) when: it exceeds level 4 standard by progressively more significant results.  Performance is acceptable (level 3), marginal (level 2) or unsatisfactory (level 1) when: it falls short by occasionally, frequently or constantly failing to achieve level 4 standard.		
RATING OFFICIAL (Signature and Date)					
EMPLOYEE (Signature and Date)					

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\* Use continuing sheet, if needed.

EMPLOYEES SIGNATURE \_\_\_\_\_

(2)